

Application for Treatment as Individual Professional Investor 個人專業投資者申請書

Client Name 客戶姓名			
Account No 帳戶號碼	Date of Application 申請日期	(dd/mm/yyyy) (日/月/年) / /	

Type of Professional Investor 專業投資者類別

Individual 個人: An individual, either alone or with any of his or her associates (spouse or any child or the individual) within a joint account 單獨或同其有聯繫者(配偶或其子女)擁有一個聯名帳戶

Asset Adequacy Assessment 資產充足度評估 (please tick the appropriate box(es) 請在適當方格內填上✓號)

I/We hereby declare that I/We am/are an individual having a portfolio¹ of **not less than HK\$8 million or equivalent** in any foreign currency at the relevant date, when any one or more of the following are taken into account - 本人/吾等謹此聲明本人為個人客戶在考慮以下任何一項或多於一項時，擁有的投資組合¹在有關日期不少於港幣\$8,000,000 或等值外幣 -

- ☐ a portfolio on my own account 本人帳戶內的投資組合；
- ☐ a portfolio on a joint account with my associate 本人聯同有聯繫者於某聯權共有帳戶內的投資組合；
- ☐ my share of a portfolio on a joint account with one or more persons other than my associate
本人聯同一名或多於一名有聯繫者以外的人士於某聯權共有帳戶內的投資組合中所佔部份；
- ☐ a portfolio of a corporation which, at the relevant date, has as its principal business the holding of investments and is wholly owned by myself 在有關日期的主要業務是持有投資項目並在有關日期由本人全資擁有的法團的投資組合。

Supporting Document(s) Required 所需證明文件 (please tick the appropriate box(es) 請在適當方格內填上✓號)

- ☐ a statement of account or a certificate issued by a Custodian within 3 months
由保管人在 3 個月內發出的賬戶結單或證明書
- ☐ a certificate issued by an auditor or a certified public accountant within 3 months
由核數師或會計師在 3 個月內發出的證明書
- ☐ a Public Filing submitted by or on behalf of the individual (either alone or with the Associate) within 12 months
由或代表該個人(不論是單獨或聯同有關有聯繫者)在 12 個月內呈交的公開檔案

Risks of Being Treated as a Professional Investor 被歸類為專業投資者的風險

As a consequence of this classification, First Fidelity Capital (International) Limited ("FFCIL") will not be required to fulfil certain regulatory requirements under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("Code"). While FFCIL may in fact perform some or all of the followings in providing services to you, we have **no regulatory responsibility** under the Code to do the following: 將閣下/吾等歸類為專業投資者後，First Fidelity Capital (International) Limited (「FFCIL」)將無須遵守《證券及期貨事務監察委員會持牌人或註冊人操守準則》(「操守準則」)下的某些規管要求。儘管為閣下/吾等提供服務之時，FFCIL 事實上可能會履行下列各項中的部分或全部，但在《操守準則》的規管下，FFCIL 並無此等義務執行以下操作：

Information for Clients 為客戶提供資料

- (i) the need to inform the you about FFCIL and the identity and status of our employees and others acting on our behalf;向客戶提供有關 FFCIL 和有關 FFCIL 僱員及其他代表 FFCIL 行事的人士的身分和受僱狀況的資料；
- (ii) the need to confirm promptly with you the essential features of a transaction after effecting a transaction for you; and 為客戶完成交易後，須盡快向該客戶確認有關該宗交易的重點；及
- (iii) the need to provide the client with documentation on the Nasdaq-Amex Pilot Program.
向客戶提供關於納斯達克－美國證券交易所試驗計劃的資料文件。

Right to Withdraw from being Treated as a Professional Investor 撤回被視為專業投資者的權利

If you become a Professional Investor, you have the right to withdraw from being treated as a Professional Investor for all products or markets or any part thereof for the purpose of the Code of Conduct at any time by giving **not less than 30 days prior written notice** to FFCIL. Any request of withdrawal given by you shall be without prejudice to and shall not affect the provision of any services rendered and/or products offered to you on the basis that you are a Professional Investor prior to such withdrawal taking effect.

閣下若成為專業投資者，閣下有權利隨時向 FFCIL 發出不少於 30 天的事先書面通知，要求撤回對於所有或任何一項產品類別及/或相關市場被視為《操守準則》所指的专业投資者身份。在該撤回還未生效之前，FFCIL 仍會視閣下為專業投資者，並在此條件下向閣下提供任何相關服務及/或產品並無任何影響，且無損各方權利。

¹ Portfolio includes (a) securities; (b) a certificate of deposit issued by an authorized financial institution or a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; (c) money held by a custodian for the individual or corporation. 投資組合包括 (a) 證券；(b) 由認可財務機構發行的存款證或並非認可財務機構但根據香港以外地方的法律受規管的銀行發行的存款證；(c)由保管人替該人或法團持有的款項。

Risk Tolerance Level Assessment 風險承受程度評估

If client wish to invest in **funds** and/or **OTC products**, please complete and sign the addition form listed below:

如客戶有意投資**基金**及/或**場外衍生產品**，請填寫及簽署以下額外之表格：

☐ Risk Profile Questionnaire (Individual / Joint Account) 風險取向問卷 (個人 / 聯名帳戶)

Client Declaration 客戶聲明

I, the undersigned Client(s), hereby acknowledge, declare and confirm that after signing in the signature column herein below by myself, indicated that: 本人，為下述簽署客戶，謹此知悉、聲明及確認，當本人於下列簽署欄內簽署後，即表示：

- (1) I fall within the definition of Professional Investor under the Securities and Futures Ordinance and the Securities and Futures (Professional Investor) Rules; 本人屬於《證券及期貨條例》及《證券及期貨(專業投資者)規則》所界定的專業投資者；
- (2) I undertake to provide FFCIL with any information or appropriate documentary evidence as required by them to confirm my status as a professional investor; 本人承諾向 FFCIL 提供任何資料或適當文件憑證，以確認本人作為專業投資者的身份；
- (3) I give my consent to being classified by FFCIL as a Professional Investor pursuant to the definitions of Professional Investor Rules; 根據專業投資者規則的定義，本人同意被 FFCIL 界定為一位專業投資者；
- (4) I am fully aware of the risks and consequences of being treated as a Professional Investor and my right to withdraw from being treated as such for all products or markets or any part thereof; and 本人完全了解被視為專業投資者的風險及後果，以及我們可撤回為所有產品或市場或其任何部分的專業投資者身份的權利；及
- (5) I undertake to notify FFCIL if I become aware of any change in my financial conditions that may affect my eligibility for being classified as a professional investor. 本人承諾會立即通知 FFCIL 有關本人之可能構成影響符合被視為專業投資者資格的財政狀況變化。

Client Signatory 客戶簽署

Signature 客戶簽名	Signature (Joint Account Holder) 客戶簽名 (聯名帳戶持有人)
Name 客戶姓名	Name 客戶姓名
Date 日期	Date 日期

Declaration by Licensed Representative 持牌代表的聲明

I confirm that 本人確認：

- I have explained the contents of this Form to the Client. I have invited the Client to read this Form, ask questions and seek independent advice (if the Client wishes); 本人已向客戶解釋本表格的內容，並已邀請客戶閱讀本申請書、提出問題及徵求獨立的意見 (如客戶有此意願)；
- I have fully explained to the Client the requirements and criteria of being classified as an Individual Professional Investor pursuant to the definitions of Professional Investor Rules; 本人已向客戶詳細解釋，根據專業投資者規則，被界定為一位個人專業投資者的規定及準則；
- The Client fulfils the requirements and criteria of being classified as an Individual Professional Investor pursuant to the definitions of Professional Investor Rules; and 根據專業投資者規則，客戶符合被界定為一位個人專業投資者的規定及準則；及
- The Client has provided me a valid original/certified true copy of the supporting documents as an assessment of portfolio and/or total assets. 客戶已提交有效的正本/已確認為真確副本的證明文件，作為投資組合及/或總資產的評估。

Signature of Staff / Licensed Representative 職員 / 持牌代表簽署	Name of Staff/ Licensed Representative 職員/持牌代表名稱
	CE No. 中央編號
	Date 日期

*****For Internal Use Only 此部分由本公司填寫*****

Checked by	Verified by	Approved by
Date:	Date:	Date: